



#3  
Sector 5

S&H Form: PTO/SB/17 (2/01)

<b>RESPONSE TO NOTICE TO FILE MISSING PARTS</b>		Attorney Docket No.	1598.1001																								
		Application Number	09/871,690																								
		Filing Date	June 4, 2001																								
		First Named Inventor	Krish R. KRISHNAN, et al.																								
		Group Art Unit	2163																								
Title:	A COMMUNICATIONS NETWORK-ENABLED SYSTEM AND METHOD FOR DETERMINING AND PROVIDING SOLUTIONS TO MEET COMPLIANCE AND OPERATIONAL RISK MANAGEMENT STANDARDS AND REQUIREMENTS																										
<p>Pursuant to 37 C.F.R. § 1.53(f) and in response to the U.S. Patent and Trademark Office Notice to File Missing Parts of Nonprovisional Application mailed <u>August 27, 2001</u> for the above-identified application, enclosed are the following:</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> RETURN COPY of Notice to File Missing Parts of Nonprovisional Application</li> <li><input checked="" type="checkbox"/> Executed Combined Declaration/Power of Attorney executed by the inventor for completing the missing parts of the subject application. The undersigned registered attorney states that the subject application is the application which the inventor executed by signing the attached Declaration.</li> <li><input type="checkbox"/> Formal Drawings (<u>  </u> Sheets; Figs <u>  </u>)</li> <li><input type="checkbox"/> English-language translation of application (with Translator's Statement (pages <u>  </u>))</li> <li><input checked="" type="checkbox"/> Verified Statement Claiming Small Entity Status</li> </ul>																											
<p>Enclosed is a payment of the following:</p> <table> <tbody> <tr> <td><input checked="" type="checkbox"/> The filing fee as set forth in 37 C.F.R. § 1.16(a)</td> <td>\$ 740.00</td> </tr> <tr> <td><input checked="" type="checkbox"/> The additional claim(s) fee ( claims over 20)</td> <td>\$396.00</td> </tr> <tr> <td><input type="checkbox"/> The additional independent claim(s) fee ( claims over 3)</td> <td>\$</td> </tr> <tr> <td><input type="checkbox"/> Multiple dependent claims</td> <td>\$</td> </tr> <tr> <td><input type="checkbox"/> Petition for Extension of Time (<u>  </u>-month)</td> <td>\$</td> </tr> <tr> <td><input type="checkbox"/> English language translation fee</td> <td>\$</td> </tr> <tr> <td><input checked="" type="checkbox"/> Surcharge as set forth in 37 C.F.R. § 1.16(e)</td> <td>\$130.00</td> </tr> <tr> <td colspan="2"><b>SUBTOTAL FEES:</b></td> </tr> <tr> <td><input checked="" type="checkbox"/> Reduction by 50% for filing by small entity (37 CFR 1.27)</td> <td>633.00</td> </tr> <tr> <td colspan="2"><b>SUBTOTAL FEES:</b></td> </tr> <tr> <td colspan="2"><b>TOTAL FEES DUE:</b></td> </tr> <tr> <td colspan="2">\$633.00</td> </tr> </tbody> </table>				<input checked="" type="checkbox"/> The filing fee as set forth in 37 C.F.R. § 1.16(a)	\$ 740.00	<input checked="" type="checkbox"/> The additional claim(s) fee ( claims over 20)	\$396.00	<input type="checkbox"/> The additional independent claim(s) fee ( claims over 3)	\$	<input type="checkbox"/> Multiple dependent claims	\$	<input type="checkbox"/> Petition for Extension of Time ( <u>  </u> -month)	\$	<input type="checkbox"/> English language translation fee	\$	<input checked="" type="checkbox"/> Surcharge as set forth in 37 C.F.R. § 1.16(e)	\$130.00	<b>SUBTOTAL FEES:</b>		<input checked="" type="checkbox"/> Reduction by 50% for filing by small entity (37 CFR 1.27)	633.00	<b>SUBTOTAL FEES:</b>		<b>TOTAL FEES DUE:</b>		\$633.00	
<input checked="" type="checkbox"/> The filing fee as set forth in 37 C.F.R. § 1.16(a)	\$ 740.00																										
<input checked="" type="checkbox"/> The additional claim(s) fee ( claims over 20)	\$396.00																										
<input type="checkbox"/> The additional independent claim(s) fee ( claims over 3)	\$																										
<input type="checkbox"/> Multiple dependent claims	\$																										
<input type="checkbox"/> Petition for Extension of Time ( <u>  </u> -month)	\$																										
<input type="checkbox"/> English language translation fee	\$																										
<input checked="" type="checkbox"/> Surcharge as set forth in 37 C.F.R. § 1.16(e)	\$130.00																										
<b>SUBTOTAL FEES:</b>																											
<input checked="" type="checkbox"/> Reduction by 50% for filing by small entity (37 CFR 1.27)	633.00																										
<b>SUBTOTAL FEES:</b>																											
<b>TOTAL FEES DUE:</b>																											
\$633.00																											

Since the Notice to File Missing Parts of Nonprovisional Application set an original due date of   , petition is hereby made for an extension to cover the date this reply is filed for which the requisite fee is enclosed (1 month (\$110)); (2 months (\$400)); (3 months (\$920)); (4 months (\$1,440)); (5 months (\$1,960));

#### METHOD OF PAYMENT

- Check enclosed as payment.  
 Charge "TOTAL FEES DUE" to the Deposit Account No. 19-3935, below.

#### AUTHORIZATION

- If the above-noted "AMOUNT ENCLOSED" is not correct, the Commissioner is hereby authorized to credit any overpayment or charge any additional fees under 37 CFR 1.16 or 1.17 necessary to maintain pendency of the present application to:

Deposit Account No.: 19-3935

Deposit Account Name: STAAS & HALSEY LLP

#### SUBMITTED BY: STAAS & HALSEY LLP

Typed Name	Heath E. Wells	Reg. No.	43,257
Signature		Date	18 October 01



UNITED STATES PATENT AND TRADEMARK OFFICE

OCT 23 2001  
U.S. PATENT & TRADEMARK OFFICE  
PACIFIC  
OCT 23 2001  
U.S. PATENT & TRADEMARK OFFICE  
PACIFIC

Page 1 of 1  
*[Handwritten mark]*

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/871,690	06/04/2001	Krish R. Krishnan	1598.1001

21171  
STAAS & HALSEY LLP  
700 11TH STREET, NW  
SUITE 500  
WASHINGTON, DC 20001

CONFIRMATION NO. 9094  
FORMALITIES LETTER



\*OC00000006477087\*

Date Mailed: 08/27/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$396.
  - \$396 for 22 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1236.**

---

*A copy of this notice **MUST** be returned with the reply.*

*[Signature]*  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/24/2001 MWHOLDER1 00000025 09871690

01 FC:201	370.00 OP
02 FC:205	65.00 OP
03 FC:203	198.00 OP